4.10 COLLECTION HISTORY

Introduction

The Collection History screen allows you to:

> ➤ View the dates that various collection activities took place for an ID (i.e., initial mailout, follow-up, remail, correspondence, UAA's)
>
> ➤ Add entries for UAA receipts to the Collection History file

StEPS maintains a Collection History File for each survey. The Collection History file contains the date for each collection activity, allowing you to track collection attempts, contact with a respondent, remails, and extension dates.

Records can be inserted into the Collection History File via interactive programs (i.e., analyst enters extension date in the Review and Correction module) or through batch programs (i.e., mailout file creation).

Accessing the Screen

The Collection History screen is only accessible through the ID-based Review and Correction screens.

● Click on the REVIEW AND CORRECTION button from the StEPS Main Menu.

● Select Option 1 - Review & Correction via selection set. This displays the Review and Correction Main Menu.

● From the Review and Correction Main Menu, choose a selection set to process. (See Chapter 4.1 for more information on accessing and creating selection sets.)

● Select the GOTO pmenu from the Review and Correction Main Menu.

● Select an ID-based Review and Correction screen by clicking on the "Control Data" or "Item Data" option, and then selecting one of the following screens: ID by Item, ID Matrix, Control Information, Historical Data, Audit Trail by ID (Control or Item).

● Once you have accessed a Review and Correction ID-based screen, select the GOTO pmenu/ Control Data/Collection History.
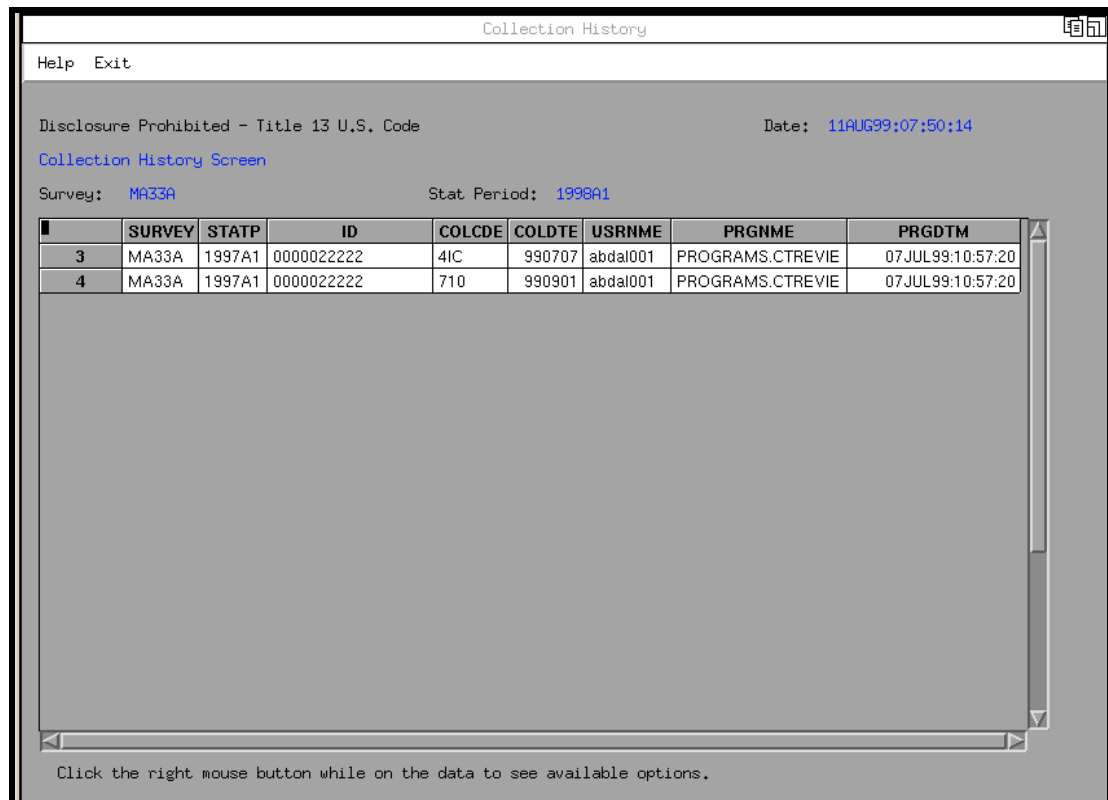

Figure 4.10   Collection History Screen

Screen Features

The following fields are displayed in the Collection History table:

SURVEY	Survey currently being processed.
STATP	Stat period in which the collection activity occurred.
ID	ID currently being processed.
COLCDE	Collection code; each collection code corresponds to a specific collection activity. (See Section 4.10.1 for a list of collection codes and corresponding descriptions.)
COLDTE	Date that a specific collection activity occurred; YYMMDD format, where YY = year, MM = month, and DD = date.

USRNME	User responsible for updating the Collection History file for the specified activity; user could have entered something interactively (i.e., extension date in the Review and Correction system) or via batch (programmer created a collection ID file for initial mailout).
PRGNME	Name of the program that updated the Collection History file.
PRGDTM	Date/time that the collection activity was added to the Collection History file.

Position the cursor on the table and click on the right mouse button to access available options for this screen.

- The first four items relate to printing the Collection History table:
  – "Page properties" sets margins, page orientation, etc.
  – "Print setup" is not active. Printers are selected via the USER SETUP button.
  – "Print preview" displays the document before it is printed.
  – "Print" prints the Collection History table

- Select the "Where" option to access the StEPS Standard Where Clause screen. You may use this screen to specify criteria to limit the observations displayed in the table.

- "Where clear" clears the Where Clause.

- Select the "Add UAA" option to add entries for UAA receipts (see Section 4.10.2).

4.10.1   COLLECTION CODES (COLCDE)

Collection codes are three-digit numeric codes that uniquely identify each processing action. The first digit of the code represents one of the following categories:

1	Initial data collection attempt
2	Follow-up data collection attempt
3	Survey instrument re-sent
4	Survey instrument received
5	Undeliverable-as-addressed (UAA's)
6	Respondent contact
7	Bureau-originated correspondence
8	Other processing actions
9	Tracking codes
C	Completion codes

The following tables show the collection codes for tracking collection history.

1xx[1]   Initial Data Collection Attempt

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[1]   The second and third digits of the collection code ('xx') indicate the collection technology used for the initial collection attempt. Values for 'xx' reflect the values for COLTEC, as specified in the Statistical Period Control file.

COLLECTION CODE	DESCRIPTION
1F_	Initial - Form mail
1X_	Initial - PFIRS (fax)
1C_	Initial - CATI/TFU
1P_	Initial - CAPI
1A_	Initial - Analyst/clerk telephone call
1Q_	Initial - CSAQ
1I_	Initial - Internet
1E_	Initial - EDI
1S_	Initial - Self-filer/own form
1T_	Initial - TDE
1O_	Initial - Other

2xx[2]   Follow-up Data Collection Attempt

COLLECTION CODE	DESCRIPTION
2F_	Follow-up - Form mail
2X_	Follow-up - PFIRS (fax)
2C_	Follow-up - CATI/TFU
2P_	Follow-up - CAPI
2A_	Follow-up - Analyst telephone call
2J_	Follow-up - Clerk telephone call
2Q_	Follow-up - CSAQ
2I_	Follow-up - Internet

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[2]   The second and third digits of the collection code ('xx') indicate the collection technology used for the follow-up attempt. Values for 'xx' reflect the values for FOLTC1-5, as specified in the Statistical Period Control file.

COLLECTION CODE	DESCRIPTION
2E_	Follow-up - EDI
2T_	Follow-up - TDE
2PC	Follow-up - Postcard reminder
2LT	Follow-up - Letter reminder
2LX	Follow-up - Letter reminder/fax
2TR	Follow-up - Phone reminder
2XR	Follow-up - Fax reminder letter
2O_	Follow-up - Other

3xx   Survey Instrument Re-sent

COLLECTION CODE	DESCRIPTION
310	Remail - New address
320	Remail - Per request

4xx[3]   Survey Instrument Received

COLLECTION CODE	DESCRIPTION
4F_	Response - Form
4C_	Response - CATI/TFU
4E_	Response - EDI
4P_	Response - CAPI
4T_	Response - TDE
4I_	Response - Internet

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[3]   The second and third digits of the collection code ('xx') indicate the source of the data received. Values for 'xx' reflect the values for DTSRCE, as specified in the Statistical Period Control file.

COLLECTION CODE	DESCRIPTION
4Q_	Response - CSAQ
4A_	Response - Analyst telephone call
4J_	Response - Clerk telephone call
4R_	Response - Respondent Call-In
4X_	Response - Fax
4S_	Response - Self filer
4O_	Response - Other

5xx   Undeliverable-as-Addressed (UAA's)

COLLECTION CODE	DESCRIPTION
510	UAA - Address change
520	UAA - No address change

6xx   Respondent Contact

COLLECTION CODE	DESCRIPTION
610	Correspondence received (not congressional)
620	Correspondence received (congressional)
630	Publication request
640	Other information request

7xx   Bureau-Originated Correspondence

COLLECTION CODE	DESCRIPTION
710	Time extension granted
715	Time extension granted due to UAA check-in
720	Time extension denied
730	Reminder of time extension sent
740	Deny request to be excused from filing
790	Correspondence answered

8xx   Other Processing Actions

COLLECTION CODE	DESCRIPTION
810	Drop from future data collection for stat period

9xx[4]   Tracking Codes

COLLECTION CODE	DESCRIPTION
910	Report form sent to control unit (NPC)
915	UAA sent to control unit (NPC)
916	Correspondence sent to control unit (NPC)
920	Report form sent to supervisor/lead clerk (NPC)
925	UAA sent to supervisor/lead clerk (NPC)
926	Correspondence sent to supervisor/lead clerk (NPC)
930	Report form sent to interviewer (NPC)
935	UAA sent to interviewer (NPC)

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[4]   Codes ending in '0' refer to actions performed on report forms; codes ending in '5' refer to actions performed on UAA's; codes ending in '6' refer to actions performed on correspondence.

COLLECTION CODE	DESCRIPTION
936	Correspondence sent to interviewer (NPC)
940	Report form sent to statistical assistant (NPC)
945	UAA sent to statistical assistant (NPC)
946	Correspondence sent to statistical assistant (NPC)
950	Report form sent to analyst (NPC)
955	UAA sent to analyst (NPC)
956	Correspondence sent to analyst (NPC)
960	Report form sent to analyst (DC)
965	UAA sent to analyst (DC)
966	Correspondence sent to analyst (DC)

Cxx   Completion codes

COLLECTION CODE	DESCRIPTION
4IC	Checked in - interactive
C00	Completed with data
C05	Completed - UAA
C06	Completed - Correspondence
C10	Completed no data - respondent promised data
C20	Completed no data - invalid contact information
C30	Completed no data - valid contact information
C40	Completed no data - language problem
C50	Completed no data - no attempt to contact
C90	Completed no data - other

4.10.2   ADDING A 'UAA' (UNDELIVERABLE-AS-ADDRESSED)

You may add an entry for UAA receipts to the Collection History file. All other updates to the file occur via other programs in StEPS. To add a UAA:

- Click on a row in the table to activate the line. (The row will appear highlighted.)
- Click the right mouse button.
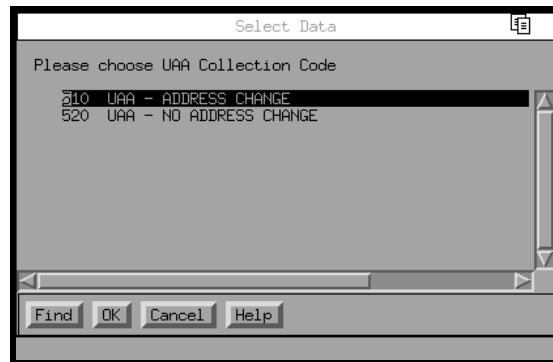- Select the "Add UAA" option to display the following:

Figure 4.10.2   Add UAA Screen

- Select the type of UAA to add to the Collection History file:

   1. UAA - Address change
   2. UAA - No address change

   NOTE: YOU MUST CLICK ON THE SELECTION. ALTHOUGH THE FIRST OPTION IS HIGHLIGHTED, THE OPTION HAS NOT BEEN SELECTED UNTIL YOU CLICK ON IT WITH THE MOUSE.

- A confirmation window will display, "Add UAA to file?".
   1. Click on "Yes" to add the UAA receipt to the file.
   2. Click on "No" if you do not want to add the UAA receipt to the file.

P-Menus

P-Menu	Options	Function
HELP	Collection History Help (F1)	Display Help information on the Collection History screen
	Collection Codes	Display list of collection codes and corresponding descriptions
	WhoamI (F7)	Display user default and systems information
EXIT	Exit (F3)	Exit to previous screen